



TN Department of Financial Institutions  
Compliance Division  
511 Union Street, 4th Floor  
Nashville, Tennessee 37219  
615-741-3186  
[www.state.tn.us/financialinst/](http://www.state.tn.us/financialinst/)

To: All Mortgage Brokers, Lenders, and Servicers

Subject: **Registrant Renewal for 2006 - \$100**

(check made payable to TN Department of Financial Institutions)

**Your Certificate of Registration under the Tennessee Residential Lending, Brokerage, and Servicing Act expires December 31, 2005. The enclosed renewal forms should be completed and returned to this office no later than December 1, 2005 as required by T.C.A. § 45-13-105.**

\_\_\_\_\_  
\_\_\_\_\_  
T.C.A. § 45-13-105(c)(2) On or before December 1 of each year, ***each registrant shall pay a renewal fee of one hundred dollars (\$100.00)*** to the commissioner for the following year, commencing January 1, together with such renewal application as the commissioner may require. Failure to pay the renewal fee or to submit a renewal application shall cause the license to expire at the close of business on December 31.  
(d) No abatement of the license fee shall be made if the license is surrendered, cancelled, revoked or suspended prior to the expiration of the period for which it was issued.

**Notice:** If any required items are missing, the application will be returned. The application must be postmarked by December 1, otherwise, it will be treated as a new application and additional fees will apply. **Please mail to the address listed above.**

**If you require copies of additional forms, please check the Department's website [www.state.tn.us/financialinst/](http://www.state.tn.us/financialinst/) under "forms".**



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**REGISTRANT RENEWAL APPLICATION**  
**Mortgage Broker, Lender and/or Servicer**

**Renewal Fee: \$100.00**

If not postmarked by 12/1/05, additional fees will apply

Office use only

Check#

File #

**I. BUSINESS ENTITY INFORMATION:**

Check appropriate box(es)    ☐ Broker    ☐ Lender    ☐ Servicer

\_\_\_\_\_  
Name of Business (including assumed name if applicable) Telephone No.

\_\_\_\_\_  
Street Address of Principal Office City State Zip

\_\_\_\_\_  
Mailing Address (if different from Street Address) City State Zip

\_\_\_\_\_  
Certificate of Registration #

NOTICE: T. C. A. § 45-13-103(a) states ".....provided, however, that no contractor or home improvement contractor or other person who supplies materials and renders services in the improvement of real property shall engage in the business of making mortgage loans or of being a mortgage loan servicer or mortgage loan broker in this state."

**Regulatory History:**

1. Has the Applicant ever been subject to any administrative action by a State or Federal Regulatory Agency?  
Yes \_\_\_\_\_ No \_\_\_\_\_

2. Has the Applicant ever surrendered or been refused a license by any State or Federal Regulatory Agency?  
Yes \_\_\_\_\_ No \_\_\_\_\_

3. Has there been any felony indictment of the applicant or any of its officers, directors, or principals?  
Yes \_\_\_\_\_ No \_\_\_\_\_

4. Has there been any felony conviction of the applicant or any of its officers, directors, or principals?  
Yes \_\_\_\_\_ No \_\_\_\_\_

5. Has the applicant filed for reorganization or bankruptcy?  
Yes \_\_\_\_\_ No \_\_\_\_\_

**If the answer to any question is "yes" under Regulatory History, please provide the following details on a separate page:**

- a. The type of any judicial or administrative proceeding in which you were involved.
- b. Describe any charges brought against you.
- c. The factual background.
- d. Your name as listed in the court pleadings.
- e. The name and address of any co-defendant.
- f. The name of the court having jurisdiction & the court address.
- g. The case or docket numbers.
- h. Whether any judgment or conviction was entered on each charge, the date of the judgment or conviction, the name of the judge, administrative law judge, referee or other magistrate that entered the judgment or conviction. (Please also attach a copy of any judgment or conviction entered).
- i. Detail any sentence received, including but not limited to, pretrial diversion, court supervision, probation incarceration, the date of sentencing and the name of the sentencing judge, referee or other magistrate. (Please also attach a copy of any sentencing order).
- j. The name, address and telephone number of any attorney who represented you.

**Category of Registrant: (Check appropriate box)**

- |                                                                          |                                                                |
|--------------------------------------------------------------------------|----------------------------------------------------------------|
| <input type="checkbox"/> U. S. Department of Housing & Urban Development | <input type="checkbox"/> U. S. Veterans Administration         |
| <input type="checkbox"/> Federal Home Loan Mortgage Corporation          | <input type="checkbox"/> Federal National Mortgage Association |

Please attach a letter/certificate of such approval

## **II. OPERATION AND RECORD RETENTION**

### **A. Location where official books and records of the applicant are kept:**

Street Address	City	State	Zip
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Telephone No.

### **B. Location where pertinent loan documentation is kept regarding loans closed in Tennessee.**

Street Address	City	State	Zip
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Telephone No.

### **C. Please list any additional branch office locations in Tennessee where business is conducted. (Make copies of Section C for each TN branch.)**

Street Address	City	State	Zip
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Telephone No.

Branch Manager (please print)

**Notice:** If there has been a change in the original designated branch manager, a new "Designation of Branch Office Manager" form is required. This form may be found at [www.state.tn.us/financialinst/](http://www.state.tn.us/financialinst/) by clicking on "forms".

### III. FINANCIAL STATEMENT

Please attach a financial statement in the name of the business that has been compiled in accordance with generally accepted accounting principles by an independent CPA or PA (T.C.A. § 45-13-105c). This requires the cover letter from the CPA or PA to be acceptable. The financial statement must show, at a minimum, a tangible net worth of \$25,000 and an additional \$25,000 for each additional branch location in Tennessee.

### IV. PERSONNEL

Please list an individual that the Department can contact to answer questions regarding this application.

\_\_\_\_\_  
Name Telephone No.

List the name of the designated managing principal. If there has been a change in the original designated managing principal, a new "Designation of Managing Principal" form is required. This form may be found at [www.state.tn.us/financialinst/](http://www.state.tn.us/financialinst/) by clicking on "forms".

\_\_\_\_\_  
Managing Principal

List below the name and title of all officers, directors, members, shareholders and/or partners for this business entity. "Officers" means chief executive and/or operating officer, president, executive or senior vice president, secretary or treasurer. "Shareholder" means (i) each shareholder if the total number of shareholders equals 20 or less, or (ii) each shareholder holding (or controlling) 10% or more of the outstanding voting stock of the corporation if there are more than 20 shareholders.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### V. CERTIFICATION/AFFIDAVIT

I hereby declare that I am duly authorized to file the foregoing renewal application and that the statements and representations set forth therein are true to the best of my knowledge. I understand that omissions or inaccuracies may result in the denial of the application.

\_\_\_\_\_  
Signature of Managing Principal Date

STATE OF: \_\_\_\_\_

COUNTY OF: \_\_\_\_\_

Subscribed and sworn to before me on this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

Notary Public \_\_\_\_\_

My Commission expires \_\_\_\_\_ (Notary Seal)

## VI. REGISTRATION OF MORTGAGE LOAN ORIGINATORS

1) According to the Department's records, the attached list contains all the mortgage loan originators currently registered with your company. Please review the list and make any corrections to the entries. Please place a line through any originators who are not being renewed. **There is a \$100 renewal fee per individual.**

2) For newly hired mortgage loan originators, please complete **Mortgage Loan Originator Registration Form**. This form may be found at [www.state.tn.us/financialinst/](http://www.state.tn.us/financialinst/) by clicking on "forms". **There is a \$100 fee per individual.**

**Notice:** Please include in your package two separate checks:

- one check for the total of loan originator fees (Section VI)
- one check for the mortgage company renewal (\$100)